

RECEIPT  
#2



CERTIFICATE OF MAILING  
37 C.F.R. § 1.8

I hereby certify that this correspondence is being deposited with the U.S. Postal Service with sufficient postage as First Class Mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231, on the date below:

10-10-01  
Date

  
Signature

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

David W. Smith, et al.

Serial No.: 09/901,520

Filed: 07/09/2001

For: SOFTWARE MODEM WITH  
PRIVILEGED MODE DECRYPTION OF  
CONTROL CODES

Group Art Unit: 2131

Examiner: Unknown

Atty. Dkt. No.: 2000.054300/SFD

**REQUEST FOR CORRECTED FILING RECEIPT**

Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, D.C. 20231

Sir:

A corrected filing receipt is hereby requested in view of the error that appears in the original. For the convenience of the Patent and Trademark Office, attached is a photocopy of the original receipt on which the error has been noted in red.

Further, we also enclosed a copy of the Notice of Partial Fee/Fee due as well as a copy of the PTO Transmittal Letter submitted on July 9, 2001, indicating that we authorized the Assistant

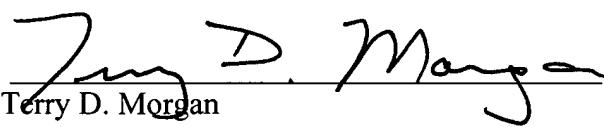
11/20/2001 SDUONG 00000011 010365 09901520  
01 FC:103 90.00 CH

Commissioner of Patents to deduct \$840.00, which includes the filing fee of \$710, the claims fee of \$90.00, and the Assignment recording fee of \$40.00.

As the error is not due to any error by Applicants, no fee is believed to be due in connection with the filing of this document. However, should any fee under 37 C.F.R. §§ 1.16 to 1.21 be deemed necessary for any reason relating to this document, the Assistant Commissioner is hereby authorized to deduct said fee from Advanced Micro Devices, Inc. Deposit Account No. 01-0365/TT4049.

Please date stamp and return the enclosed postcard evidencing receipt of these materials.

Respectfully submitted,



Terry D. Morgan  
Reg. No. 31,181

Attorney for Applicants

WILLIAMS, MORGAN & AMERSON  
7676 Hillmont, Suite 250  
Houston, Texas 77040  
(713) 934-7000

Date: October 10, 2001



## UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
[www.uspto.gov](http://www.uspto.gov)

APPLICATION NUMBER	FILING DATE	GRP ART UNIT	FIL FEE REC'D	ATTY.DOCKET.NO	DRAWINGS	TOT CLAIMS	IND CLAIMS
09/901,520	07/09/2001	2131	740 \$800.00	2000.054300	4	25	3

\$800.00

CONFIRMATION NO. 4919

Scott F. Diring  
Patent Agent  
Williams, Morgan & Amerson, P.C.  
7676 Hillmont, Suite 250  
Houston, TX 77040

DOCKETING DEPT.

SEP 04 2001

FILING RECEIPT



\*OC000000006485587\*

WILLIAMS, MORGAN &amp; AMERSON

Date Mailed: 08/28/2001

Receipt is acknowledged of this nonprovisional Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please write to the Office of Initial Patent Examination's Customer Service Center. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

**Applicant(s)**

David W. Smith, Cedar Park, TX;  
Brian C. Barnes, Round Rock, TX;  
Terry L. Cole, Austin, TX;  
Rodney Schmidt, Austin, TX;  
Geoffrey S. Strongin, Austin, TX;  
Michael Barclay, Swallowcliffe, UNITED KINGDOM;

**Domestic Priority data as claimed by applicant****Foreign Applications**

If Required, Foreign Filing License Granted 08/27/2001

CHECKED BY:
LAST CHECKED
AND CHECKED

*[Signature]*

**Projected Publication Date: Request for Non-Publication Acknowledged****Non-Publication Request: Yes****Early Publication Request: No****Title**

Software modem with privileged mode decryption of control codes

Preliminary Class

380

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Data entry by : DONG, OANH

Team : OIPE

Date: 08/28/2001



**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related application(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Office of Export Administration, Department of Commerce (15 CFR 370.10 (j)); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

**NOT GRANTED**

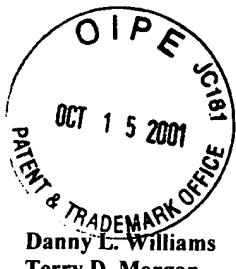
No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

**PLEASE NOTE the following information about the Filing Receipt:**

- The articles such as "a," "an" and "the" are not included as the first words in the title of an application. They are considered to be unnecessary to the understanding of the title.
- The words "new," "improved," "improvements in" or "relating to" are not included as first words in the title of an application because a patent application, by nature, is a new idea or improvement.
- The title may be truncated if it consists of more than 500 characters (letters and spaces combined).
- The docket number allows a maximum of 25 characters.
- If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, you should submit a request for a corrected Filing Receipt along with a copy of the Express Mail label showing the "date in."
- The title is recorded in sentence case.

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents  
Office of Initial Patent Examination  
Customer Service Center  
Washington, DC 20231



# WILLIAMS, MORGAN & AMERSON, P.C.

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Stephanie A. Wardwell, Ph.D.\*

\*Patent Agent

July 9, 2001

FILE: 2000.054300

WRITER'S DIRECT DIAL:  
713-934-4050

EXPRESS MAIL MAILING LABEL	
NUMBER EL798365381US	
DATE OF DEPOSIT 9 July, 2001	
I hereby certify that this paper or fee is being deposited with the United States Postal Service with sufficient postage "EXPRESS MAIL POST OFFICE TO ADDRESSEE" service under 37 C.F.R. 1.10 on the date indicated above and is addressed to: Assistant Commissioner for Patents, Washington D.C. 20231.	
 Signature	

BOX PATENT APPLICATION  
Assistant Commissioner for Patents  
Washington, DC 20231

RE: *U.S. Patent Application Entitled "SOFTWARE MODEM WITH PRIVILEGED MODE DECRYPTION OF CONTROL CODES"*

*Inventor(s): David W. Smith, et al.*

*Client Reference: TT4049*

Sir:

Transmitted herewith for filing are:

- (1) 26-page patent specification with 25 claims and an abstract (also Figures 1-4 on 4 sheets);
- (2) Declarations (2);
- (3) Assignments (2) and Assignment Cover Sheet;
- (4) Powers of Attorney (2); and
- (5) Request for Certification under 35 U.S.C. 122(b)(2)(B)(i).

WILLIAMS, MORGAN & AMERSON, P.C.

Assistant Commissioner for Patents  
July 9, 2001  
Page 2

All correspondence, notices, official letters and other communications should be directed to Scott F. Diring, Patent Agent, Williams, Morgan & Amerson, P.C., 7676 Hillmont, Suite 250, Houston, TX 77040, and all telephone calls should be directed to Scott F. Diring at (608) 833-0748.

**The Assistant Commissioner is authorized to deduct the amount of the total filing fee (listed below) from Advanced Micro Devices, Inc. Deposit Account No. 01-0365/TT4049.**

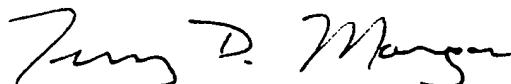
**FILING FEE CALCULATION**

FOR		Small Entity	Large Entity
Total Claims	25 - 20 = 5	x \$9 = \$	or x \$18 = \$ 90.00
Independent Claims	3 - 3 = 0	x \$39 = \$	or x \$80 = \$ 0.00
Multiple Dependent Claim(s)		+ \$130 = \$	or + \$270 = \$ 0.00
Basic Fee:		+ \$345 = \$	or + \$710 = \$ 710.00
Assignment Recording Fee:	(\$40 per assignee)	+ = \$	+ = \$ 40.00
<b>TOTAL FILING FEES</b>		<b>\$ 0.00</b>	<b>\$ 840.00</b>

Pursuant to 37 C.F.R. § 1.10 the Applicants request that the Patent and Trademark Office accept this application and accord a serial number and filing date as of the date this application is deposited with the U.S. Postal Service for Express Mail.

Please date stamp and return the enclosed postcard to evidence receipt of these materials.

Respectfully submitted,

  
Terry D. Morgan  
Reg. No. 31,181

TDM/ln

Encl.